

Form PTO 1390 (REV 5-93)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY'S DOCKET NUMBER TC00001
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED / ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371			U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5) 10/535,690
INTERNATIONAL APPLICATION NO. PCT/US03/37658	INTERNATIONAL FILING DATE 18 November 2003	PRIORITY DATE CLAIMED 22 November 2002	
TITLE OF INVENTION NOVEL CHEMICAL COMPOUNDS			
APPLICANT(S) FOR DO/EO/US Masaichi HASEGAWA, Jun TANG and Hideyuki SATO			

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ The US has been elected (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11. to 16. below concern other document(s) or information included:**

11. ☐ An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98; and Form PTO-1449.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.  
(Add claim to priority via Preliminary Amendment for US originating cases only)
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ Power of attorney.
17. ☐ An Abstract on a separate sheet of paper.
18. ☐ Copy of Form PCT/ISA/210.
19. ☒ Other items or information. Copy of form PCT/DO/EO/905 (2 pages).


US APPLICATION NO. (if known see 37 CFR 1.50) 10/535,690		INTERNATIONAL APPLICATION NO. PCT/US03/37658		ATTORNEYS DOCKET NO. TC00001	
20. <input checked="" type="checkbox"/> The following fees are submitted:				CALCULATION PTO USE ONLY	
Basic National Fee (37 C.F.R. 1.492(a)(1)-(5)):					
(X) one month extension.....		\$ 120	\$120.00		
() two months extension.....		\$ 450			
() three months extension.....		\$ 1,020			
() four months extension (not beyond statutory time period).....		\$1,590			
() fifth month extension.....		\$2,160			
TOTAL OF ABOVE CALCULATIONS =			\$120.00		
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).			\$130.00		
Claims	Number Filed	Number Extra	Rate		
Total claims	- 20 =	0	0 x \$50.00	\$0.00	
Independent claims	- 3 =	0	0 x \$200.00	\$0.00	
Multiple dependent claims (if applicable)			+ \$360.00	\$0.00	
TOTAL OF ABOVE CALCULATIONS =			\$250.00		
National Stage Application size fee - for each additional 50 sheets that exceed 100 sheets. No. of 50 addtl sheets 1 x \$250.00 =			\$0.00		
SUBTOTAL =			\$250.00		
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)) +					
TOTAL NATIONAL FEE =			\$250.00		
04/13/2006 GFREY1 00000116 192570 10535690					
01 FC:1617 130.00 DA			Amount to be	\$	
02 FC:1251 120.00 DA			refunded		
			charged	\$	

- a. ☐ A check in the amount of \$\_\_\_\_\_ to cover the above fees is enclosed.
- b. ☒ Please charge my Deposit Account No. 19-2570 in the amount of \$250.00 to cover the above fees.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 19-2570.
- d. ☒ General Authorization to charge any and all fees under 37 CFR 1.16 or 1.17, including petitions for extension of time relating to this application (37 CFR 1.136 (a)(3)).

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

**SEND ALL CORRESPONDENCE TO:**

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Corporate Intellectual Property - UW2220  
P.O. Box 1539  
King of Prussia, PA 19406-0939  
Phone (610) 270-5023  
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SIGNATURE  
Wayne J. Dustman  
NAME  
33,870  
REGISTRATION NO.



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/535,690	Masaichi Hasegawa	TC00001

INTERNATIONAL APPLICATION NO.
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PCT/US03/37658

I.A. FILING DATE	PRIORITY DATE
11/18/2003	11/22/2002

20462  
SMITHKLINE BEECHAM CORPORATION  
CORPORATE INTELLECTUAL PROPERTY-US, UW2220  
P. O. BOX 1539  
KING OF PRUSSIA, PA 19406-0939

CONFIRMATION NO. 7227

371 FORMALITIES LETTER



\*OC000000017806216\*

Date Mailed: 01/10/2006

## NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 05/19/2005
- Copy of the International Search Report filed on 05/19/2005
- Copy of IPE Report filed on 05/19/2005
- Preliminary Amendments filed on 05/19/2005
- Information Disclosure Statements filed on 05/19/2005
- Request for Immediate Examination filed on 05/19/2005
- U.S. Basic National Fees filed on 05/19/2005
- Priority Documents filed on 05/19/2005
- Specification filed on 05/19/2005
- Claims filed on 05/19/2005
- Abstracts filed on 05/19/2005

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2006 JAN 13 A 11:37

The applicant needs to satisfy supplemental fees problems indicated below.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.492(h) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

SUMMARY OF FEES DUE:

Total additional fees required for this application is \$130 for a Large Entity:

- \$130 Surcharge.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

KAREN R MCLEAN

Telephone: (703) 308-9140 EXT 214

**PART 1 - ATTORNEY/APPLICANT COPY**

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/535,690	PCT/US03/37658	TC00001

FORM PCT/DO/EO/905 (371 Formalities Notice)

TRANSMITTAL LETTER TO THE U.S. DESIGNATED OFFICE  
(DO/US) - ENTRY INTO NATIONAL STAGE UNDER 35 USC 371

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INTERNATIONAL APP. NO.	INTERNATIONAL FILING DATE	PRIORITY DATE CLAIMED
PCT/US03/37658	18 November 2003	22 November 2002

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TITLE OF INVENTION  
NOVEL CHEMICAL COMPOUNDS

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APPLICANT(S) FOR DO/US  
Masaichi HASEGAWA, Jun TANG and Hideyuki SATO

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Commissioner for Patents  
Mail Stop: PCT  
P.O. Box 1450  
Alexandria, VA 22313-1450  
ATTENTION: DO/US

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CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this Transmittal Letter, Form PTO 1390 and the papers indicated as being transmitted therewith, and Post Card are being deposited with the United States Postal Service on this date **April 10, 2006** in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number **EV608165625US** addressed to the:

Commissioner for Patents, Mail Stop: PCT, P.O. Box 1450, Alexandria, VA 22313-1450.

Michael Romanowski  
(Typed or printed name of person mailing paper)

Michael Romanowski  
(Signature of person mailing paper)

20462  
CUSTOMER NUMBER